

 KENTUCKY CORRECTIONS Policies and Procedures	Policy Number	Total Pages
	27-03-01	4
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	*	April 23, 2015
Authority/References KRS 439.480, 439.420, 439.310, 439.380, 61.872 P&P ACA 3A-27, 3D-28, 3D-29, 3D-30	Subject CASE RECORD MANAGEMENT	

I. DEFINITIONS

“Case Folder” means a manila folder with fasteners on both sides to hold documents of offender information.

“Kentucky Offender Management System (KOMS)” means the case management system of the Kentucky Department of Corrections.

II. POLICY and PROCEDURES

A. A case record shall be maintained in the probation and parole office files on all offenders under supervision. Information shall be released only to persons authorized by appropriate regulations or as required by statute.

B. The Case Folder

1. A case folder shall be prepared on all active supervision cases.
2. The label shall list last name (court name), first name and middle name, the date of birth and the type of case.

C. Method of Filing

1. All active case folders are to be filed alphabetically. The inactive shall also be filed alphabetically but separate from the active case folders.
2. Active supervision cases are kept in a file in the local probation and parole office.
3. Upon ensuring that all required documentation has been uploaded to the case management system, the case record shall be closed.

D. Organization of File

Case files shall be kept neat and orderly.

Policy Number	Effective Date	Page
27-03-01	April 23, 2015	2

1. Supervision related documents shall be retained on the right side of the folder in chronological order ending with current supervision materials.
2. Releasee reports shall be retained on the left side of the case folder. At minimum, six (6) months of releasee reports shall be retained. (3D-30)

E. Kentucky Offender Management System (KOMS)

1. Offender information shall be entered into the offender management system in the following sections and updated as changes occur:

Supervision History
 Court Orders
 Sentence Components
 Supervision Fees and Offender Payee Accounts
 Special Conditions
 Risk Assessments
 Supervision Contacts
 Supervision Cautions
 Drug Tests
 Pre-Sentence Information
 Offender Demographics
 Offender Photograph
 Residential History
 Telephone Numbers
 Relatives
 Employment History
 Educational History
 Vehicle History
 Military Service History
 Arrest History
 External Movement
 Scanned Documents
 Investigation Alerts
 Transfers
 Parole Plan
 Investigations
 Victim Information
 Offender Standard Forms
 Program Referrals
 Violations Screen

Policy Number	Effective Date	Page
27-03-01	April 23, 2015	3

Case Management Plan

2. Mandatory entry of all contacts with offender shall occur within three (3) working days.
3. Supervision documents shall be entered or uploaded into the case management system and updated, as changes occur. (3D-29)

E. Security

All records not in use shall be stored under a minimum of one lock (individual office door, file room door, or cabinet). All records in use shall be directly supervised and controlled by an agency employee. No unauthorized person(s) shall access a record. (3D-28)

F. Privacy of Case Records

Release of information contained in the case file is to conform to CPP 6.1 (Open Records Law) and as required by statute. (3D-28)

G. Records Review

The policies and procedures for governing case record management shall be reviewed at least annually.

H. Case Audit

1. Case audits shall be completed annually. Each caseload shall have, at minimum, ten (10) cases audited annually by the supervisor.
2. Case audits shall include a field, office, court, or community audit every year.
3. Investigative performance audits shall be conducted as needed.
4. Administrative caseload audit checklists shall be completed annually on administrative cases. Each administrative caseload shall have, at minimum, ten (10) cases audited annually by the supervisor.
5. Case audit results shall be reviewed with staff for employee performance review. (3A-27)

I. District Records Review

Policy Number	Effective Date	Page
27-03-01	April 23, 2015	4

The supervisor shall review case management of the district each month through offender management system reports.

J. Retention and Disposal Schedule

Case records of discharged offenders shall be retained in the field office for the length of time specified in the applicable State Retention and Disposal Schedule for the Corrections Cabinet prepared by the Archives and Records Center. The records shall also be destroyed in the manner set forth in the schedule. (3D-28)